



*YOUTH SERVICES*  
*OFFICE OF JUVENILE*  
*JUSTICE*

*PPR Training Manual*

*July 2009*

Youth Services is charged with rendering certain services to the public, which it accomplishes through its employees and supervisors, the agency's strategic planning process, and the agency's rules, policies, and standards for work performance as well as work behavior.

It is important for your supervisor to effectively communicate to you the work that you are expected to accomplish, your job duties, how these are linked to the agency's mission and goals, and what standards you are expected to meet in work performance and behavior on the job.

This communication should occur between you and your supervisor throughout the year. Civil Service rules require that your supervisor provide you with this information in written form at least once each year through the State's Performance Planning and Review Process.

You should have the opportunity to discuss with your supervisor his/her expectations of you, in order to clarify anything that needs to be made clear and to ensure that you fully understand what is expected of you.

At least once a year, you will receive a written performance evaluation, commonly referred to as an employee's PPR.

For further information regarding Youth Services performance evaluation process, please refer to *Policy A.2.45 Performance Planning and Review* or contact your Human Resources Office. The PPR process is also described in Chapter 10 of the Civil Service Rules which can be accessed on Civil Service's web site. You may access a copy of Chapter 10 at:  
<http://www.civilservice.louisiana.gov/progasst/csrules/Chapter10/CHAP10.asp>.

### **EMPLOYEE OPPORTUNITIES** **TO GET MAXIMUM BENEFIT FROM THE PPR PROCESS:**

1. Keep your own Kudos file and give it to your supervisor before rating time.
2. If your Rating Supervisor has asked you to remind him/her that your planning or rating deadline is due and has asked you to help him/her remember, don't be shy—he/she really wants you to!
3. Be aware if you have not received a rating by the time your anniversary date has occurred, your official rating will be Un-Rated as of the day after the anniversary date. You do not have to wait to be notified that you earned an Un-Rated; you

can go on and Request a Review if you wish to. There is a form on the C.S. website, and as attachment (a) to Policy A.2.45, that you can use for this purpose. Either way, your Request for Review must be received by the day that falls 15 days after your anniversary date.

4. You can only request a review of a PPR rating if you are in disagreement with the overall rating category.
5. You are eligible for a merit increase on your anniversary date or first merit eligibility date if you have a Meets Requirements, Exceeds Requirements, Outstanding or even Un-Rated. There is no rule that guarantees the merit increase.
6. If you are requesting a review, we recommend you explain specifically which factors you disagree with, what rating you are requesting, and why you disagree. Submit any documentation you wish to have considered.
7. If you wish to submit supporting documentation along with your Request for Review, but feel you cannot compile it by the deadline date, the agency is under no obligation to allow you extra time, nor should you assume you will be allowed extra time to produce the documentation. We recommend you make your request for an extension in writing, and the agency can provide you with a reply granting or denying the request.
8. Have an understanding of the Performance Factor Ratings; understand that *not* receiving a "5" on every factor does not mean you're not doing a good job. A Meets Requirements rating means just that - you have met the expectations set for you by your supervisor - your performance has not been "deficient."
9. Request informal feedback throughout the year from your supervisor, especially if there are areas in which you personally are trying to improve.

**RATING SUPERVISOR OPPORTUNITIES**  
**TO GET MAXIMUM BENEFIT FROM THE PPR PROCESS:**

1. Attach a copy of position description to planning form.
2. Explain to the employee that he will be held responsible for all aspects of his job when you rate - not just the planning expectations. (Ex. Position description, Policies and Procedures manual, training manual, all verbal and written communications regarding job duties.) A lot of employees don't understand this!
3. Have the employee keep his/her own "Kudos" file.

4. Conduct planning updates and informal rating sessions throughout the rating year.
5. Communicate, Communicate, Communicate throughout the year.
6. Document that communication took place.
7. Remember that the employee is being rated for the entire rating period. Don't lose sight of this and only consider the performance of the past few months prior to rating time.
8. Do not wait until the last minute to rate an employee. Ouch!!! You can get burned. See new Civil Service Rule 10.2 effective June 3, 2009, and General Circular No. 1773 issued July 7, 2009.
9. Take two copies of the rating form into the rating session. Write and initial any changes. Employee and Rating Supervisor sign both copies; each leaves with a copy.
10. Get your forms completed, sessions conducted, and forms into your H.R. office well ahead of the anniversary date. That way, if there are problems with your forms, H.R. may have time to return them to you for corrections before the deadline.
11. Conduct "unofficial" closeout ratings if an employee leaves your supervision and it isn't within the window of opportunity for the official rating; conduct an official rating if it is within the window of opportunity for rating.
12. If your supervisor requires you to submit your subordinates' planning and rating documents to him/her for his/her review, you should do so *before* you conduct the session, so that any differences of opinion can be resolved before you conduct the session.
13. Once the session is rendered, signatures affixed, and copies given, the rating is official.
14. And yes - your supervisor CAN ask to see these documents—how else will he know how to rate YOUR performance at rating time?

## **THE PPR REVIEW PROCESS**

Civil Service Rules 10.13 and 10.14 deal with the process of reviewing an employee's PPR rating.

Youth Services uses the Civil Service process. Employees are urged to become aware of the agency's policy A.2.45 Performance Planning and Review, the performance evaluation process and the process defined in Chapter 10 of the Civil Service rules. A copy of Chapter 10 of the Civil Service rules can be accessed on line at <http://www.civilservice.louisiana.gov/progasst/csrules/Chapter10/CHAP10.asp>. The information contained in this document addresses the PPR Review process from the standpoint of our policy and Civil Service Rules.

The review process begins at the agency level; once a decision has been rendered at the agency level, the employee may then request a review by the Director of Civil Service. The Civil Service review cannot be pursued until the agency has completed its review; therefore, employees are again urged to become aware of Civil Service rules and the agency's policies and procedures governing the review process. An employee who submits the review request to Civil Service before submitting it through the agency may find that the deadline for requesting the agency review has expired. In that case, the agency is under no obligation to perform the agency review, and since there can be no Civil Service review unless there has first been an agency review, the employee may lose his/her review opportunity for that rating period.

**IMPORTANT NOTE regarding PPR & MERIT INCREASES:** The approval of a merit increase is related to an employee's performance in that an employee who has been rated below "satisfactory" is prohibited from receiving a merit increase. However, there is no rule that requires the agency to approve a merit increase just because an employee has achieved a rating of "satisfactory" or better. The Department of Civil Service will not process review requests that are solely based on the lack of a merit increase.

### **"Unrated" Rating**

An employee whose anniversary date has passed and who has not received an official signed copy of the PPR rating is "unrated". An "unrated" has the same effect as a "meets requirements" rating.

While there are some circumstances where an "unrated" is acceptable, these are rare. Most often, these are situations that involve an employee who has been out on extended leave for a long enough period that the supervisor does not have sufficient information to render a meaningful rating.

Any employee who has not received his/her rating form on or before the employee's anniversary date may immediately submit a request for agency review. The request must be postmarked or received in the Central Office Human Resources Offices no later than 15 days after the employee's anniversary date (or for a review of a re-rating, the date that is 15 days after the date that falls six months after the anniversary date).

The request for review process will ensure that the employee receives an official rating from the agency for the rating period. An employee who is not satisfied with the rating given during the agency review process may proceed to the Director's Review

### **Employee Disagreement with the Overall Rating Given**

From time to time, an employee will disagree with the rating given. Since the overall rating given to an employee is calculated using the ratings given for individual factors; then it is in the employee's best interest to take note of the expectations and comments for each individual factor to determine the exact nature of the disagreement.

### **Agency Level Review – (Civil Service Rule 10.13)**

Rule 10.13 deals specifically with the first review process, which occurs AT THE AGENCY LEVEL.

Any permanent employee who disagrees with his/her rating has the right to have the rating reviewed by the designated reviewer. The rules simply state that the designated reviewer cannot be the supervisor who conducted the official rating. Apart from that, an agency is free to name one or more designated reviewers for PPR ratings.

### **Employee's Responsibility / Agency Review**

It is the employee's responsibility to do the following when requesting an agency review:

- Submit a written request for review
- Submit the request to ensure that it is postmarked or received in the Central Office HR Office no later than 15 calendar days after the employee's anniversary date (or for a review of a re-rating, no later than 15 days after the date that falls six months after the anniversary date).
- In the written request, the employee must provide the following:
  - Explanation of why the employee believes a higher rating is warranted
  - Supporting documentation, if it exists, that the employee wants the Reviewer to consider
- If the review request is due to the employee being "unrated", then the written request can very simple. A sample review request for an employee who is "unrated" can be found as attachment (a) to Policy A.2.45

After the review request has been submitted, the employee can expect that the reviewer (or the review committee) will be in contact to discuss the contested rating.

The rules require the reviewer to discuss the contested rating with both the employee and the rating supervisors; these discussions may take place separately.

When the review is complete, the reviewer must notify the employee, the Rating Supervisor and the Central Office HR Office of the results of the review. Any change the Reviewer makes to the rating will be retroactive to the anniversary date or, if the review occurs for a re-rating, the re-rating date, which is the date that is six months after the anniversary date.

### **Review by Director of Civil Service – Rule 10.14**

A permanent employee who disagrees with the Reviewer's decision has a right to have the PPR file reviewed by the Director of Civil Service or the Director's designee.

A request for Director's review must be postmarked or received by the Director within 30 calendar days following the date the employee received a copy of the Reviewer's decision. **Civil Service cannot accept a review request until the agency review process has been completed.** Review requests submitted to Civil Service prior to the completion of the agency review process will be returned to the employee.

### **Employee's Responsibility / Civil Service Director Review**

It is the employee's responsibility to do the following when requesting a Director's review:

- Submit a written request for review.
- Submit the request to ensure that it is postmarked or received in the Director's office no later than 30 calendar days after the employee received the Reviewer's decision.
- In the written request, the employee must provide the following:
  - Why there was no basis for the contested rating
  - Supporting documentation, if it exists, that the employee wants to be considered
- Although not required, it is helpful if the employee includes a copy of the agency review request the employee submitted to the agency along with a copy of the reviewer's decision.
- If the review request is timely, the Director or his designee shall obtain and review the employee's PPR file.

### **Director's Review Process**

In the Director's review process, the reviewers' jobs are driven by this sentence in Rule 10.14(c):

" . . . When the Director or his/her designee finds that the agency violated any rule in this Chapter or that there was no documented, rational basis for a rating, the Director may order any contested rating changed as he/she deems appropriate."

### **How to Prepare Your Request for Director's Review**

Many employee review requests do not meet the requirements of Rule 10.14(b), which states in part ". . . the employee must explain why there was no basis for the contested rating."

A simple conclusion on the part of the employee that the rating supervisor had no basis for the rating is not sufficient. It is also not sufficient to simply disagree with the supervisor's evaluation of the level of performance given by an employee on a task or job that has been performed.

It is important to be as specific as possible by **including FACTS** that you believe support your conclusion or disagreement.

Identify:

The parties involved

Places

Dates

Any other factual information that is pertinent

Supporting facts may include:

- Facts (not just a conclusion) that indicate the supervisor's written comments actually reflect a higher level of performance than the rating given.
- Facts, not conclusions that show that the supervisor's comments are not true.
- Facts that show that your supervisor knew you were performing as you were in the specific areas addressed in the rating, but that the supervisor did nothing prior to the formal rating to inform you that your work was not meeting expected standards.



## **Suggestions for Designated Reviewers**

1. The Appointing Authority can serve as the designated agency Reviewer in response to an employee's Request for Review of a PPR rating, or shall designate one or more persons to serve in the role of Designated Reviewer.
2. If your agency names several individuals to serve on a Review board, at least one person must be named as the Designated Reviewer and whose signature is affixed to all official Review documents.
3. The Designated Reviewer should discuss the ratings face-to-face with the employee and the Rating Supervisor, if possible. Of course, this doesn't have to be at the same time. If not, a phone call is acceptable. If this is not possible due to extenuating circumstances, contact your Human Resources office for recommendations on handling this issue. They may contact Civil Service if necessary.
4. Sometimes non-PPR issues come to the attention of the Reviewer in the Review process. The Reviewer, as appropriate, can certainly bring these issues to the attention of the Human Resources office or Appointing Authority. It is not appropriate to address those in the PPR review, even if the employee has included them in the Request for Review.
5. Sometimes there are problems with the PPR that do not serve as basis for a change in a factor rating or overall score. For example, the Reviewer may find that the Rating Supervisor didn't provide as meaningful expectations as he should have, or didn't communicate as often as the Reviewer felt should have been done. These are the kinds of things that possible would have prevented the Request for Review in the first place. A separate memo or discussion of such findings might be appropriate and the Rating Supervisor's supervisor should be copied or notified of the issues that come to light.
6. There are some rule violations that would automatically signal to a Reviewer that a rating should be overturned. Please refer to Civil Service Rule 10.6 for the definition of a compliant rating. (For example, no signatures affixed, rating done outside the window of opportunity.)
7. Then there's the violation of another rule - no planning session conducted. What to use in the absence of a planning session, to rate an employee? The following documents shall be used to rate an employee when no planning session was conducted:
  - a. Position descriptions,
  - b. Policies and procedures manual,
  - c. Training manual,

- d. Other communications, documentation from the rating period. Supervisory notes. Electronic mail.

*It is possible to conduct a valid rating session in the absence of a planning session. However, it will likely be more difficult to defend a rating it is challenged.*

- 8. We recommend the Reviewer prepare a decision letter/memo to the employee that:
  - a. *Documents* the dates the Reviewer discussed the rating with the employee and with the Rating Supervisor
  - b. *Acknowledges*, in writing, receipt of documentation provided by the employee and the Rating Supervisor (If documentation is submitted by the employee and/or the Rating Supervisor after the deadline for submitting such, and if no agreement was made to accept and consider such documents after the designated date, the Reviewer should indicate it was not considered and why)
  - c. *Explains* the review decision and the basis of his decision
  - d. *Addresses* each PPR-related charge
  - e. *Includes* statement that this is the last step in the Review process at the agency, and refer the employee to C.S. Rule 10.14 for the Request for Director's Review process.
  - f. *Provides* copies to the Rating Supervisor and the Human Resources office.
  - g. *Includes* a copy of the amended PPR form including the last page, which should be read by the Reviewer, instructions thereon followed, and signatures affixed.

## **OTHER INFORMATION**

[PPR Anniversary Date Schedules](http://www.civilservice.la.gov/PROGASST/PPR/pprscheds.asp) can be accessed on the Civil Service Web Page at:  
<http://www.civilservice.la.gov/PROGASST/PPR/pprscheds.asp>

These provide the first and last dates an employee's planning session can be conducted, the first and last day the rating session can be conducted, and if applicable, the dates of the re-rating. Simply locate the anniversary date (in red) of the employee on the appropriate quarterly schedule and these important dates will be provided for that date.

## **Performance Planning and Review Training For Supervisors**

This 1-day class taught by the staff of the Dept. of Civil Service provides participants with information concerning the major components of the Civil Service performance planning and review system. This class is open to all supervisors and managers. All YS employees who are supervisors are required to complete this training.

To register for this class, complete a CPTP (Comprehensive Public Training Program) class registration form and send it to your unit's CPTP coordinator. The forms can be downloaded from the [CPTP web site](#). Participants will receive written confirmation of attendance approximately three weeks before the course begins. All classes meet from 8:15 a.m. to 3:30 p.m., unless specifically stated otherwise. For further information, call your unit's CPTP coordinator or the CPTP office at (225) 342-4739.